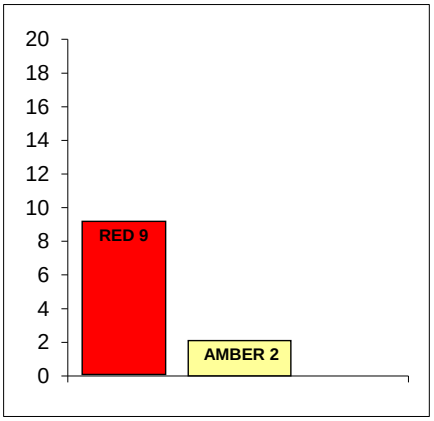
POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE

RISK REGISTER

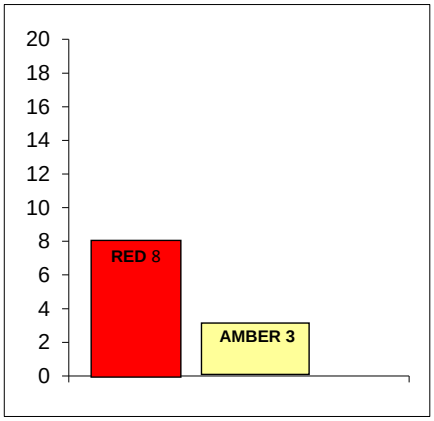
EXECUTIVE SUMMARY

From 7 June 2016

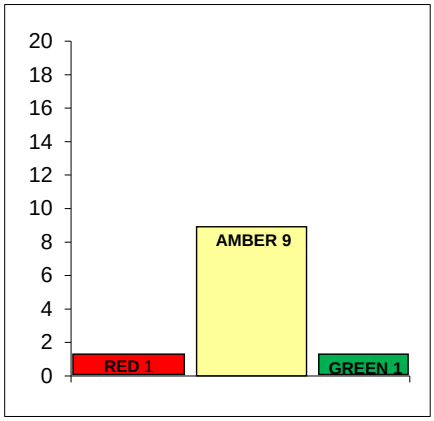
INHERENT EXPOSURE (Number of Risks)



CURRENT EXPOSURE (Number of Risks)



TARGET EXPOSURE (Number of Risks)



INHERENT EXPOSURE (Risk Distribution)

LIKELIHOOD	1	2	3	4
4				3
3			1	6
2				1
1				

IMPACT

CURRENT EXPOSURE (Risk Distribution)

LIKELIHOOD	1	2	3	4
4				3
3			2	5
2				
1				1

IMPACT

TARGET EXPOSURE (Risk Distribution)

LIKELIHOOD	1	2	3	4
4				
3			1	1
2		1	2	2
1			1	3

IMPACT

ID	RISK DESCRIPTIONS	SPONSOR	Current Rating
1	Failure to ensure that G4S objectives are delivered (with available resources)	PCC (CFO)	
2	Lack of Capacity & Resilience in the Office of Police and Crime Commissioner	PCC (CE)	
3	Failure to persuade Government of Lincolnshire's case for a fairer share of national funding, including lack of recognition of the rural costs in the formula; compounded by potential budget cuts presented by HM Treasury in next spending review period (2014/15 – 2017/18)	PCC (CFO)	
4	Failure to achieve and demonstrate efficiencies, value for money (VfM) and optimum workforce productivity	PCC (CE)	
5	Failure to deliver objectives of Tri-service "Blue Light Projgramme".	PCC (CE)	
6	Financial loss (default on investments, bad debt, major incident)	PCC (CFO)	
7	Resilience & Instability in Force Chief Officer team (Recent significant changes in Chief Officer team)	PCC (CE)	
8	Lack of effective service commissioning capacity (Limited OPCC capacity / capability to deliver full service commissioning	PCC (CE)	
9	Ineffective relationships with Local Partners (Inc LCC, District Councils, Health services, Fire/ Ambulance)	PCC (CE)	
10	Failure to plan for effective transition from current Commercial Contract arrangements.(Contract ends in 2021/22)	PCC (CE)	
11	Failure to maintain or develop beneficial regional collaborations. (Following significant changes in regional leadership landscape - PCCs and Chief Officers)	PCC (CE)	
	Exec Summary updated 12 July 2017.		

POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE
RISK REGISTER

NOT PROTECTIVELY MARKED

OBJECTIVES (OPCC Operational Plan 2017 -20
A. Internal
B. Force Organisation/Transformation
C. External Delivery
D. Collaboration

ID	Unique Ref No.	Linked to Objective	Description of Risk: Source (Lack of….Failure to ….)	Description of Risk: Consequences (Results in ….Leads to ….)	Risk Sponsor	Inherent Risk Score 1:Low…4:High: Like-lihood	Inherent Risk Score 1:Low…4:High: Impact	Overall Inherent Risk Score	Existing Controls	Owner (the do-er)	Current Risk Score 1:Low 4:High: Like-lihood	Current Risk Score 1:Low 4:High: Impact	Overall Current Risk Score	Direction of travel	New/Developing Controls (Inc Date)	Owner (responsible for new and developing controls)	Start Date	End date	Target Risk Score 1:Low….4:High: Like-lihood	Target Risk Score 1:Low….4:High: Impact	Overall Target Risk Score	Review Date
1	C09	PTW	Failure to ensure that **G4S objectives are delivered** (with available resources)	• Policing and crime objectives not achieved • Public confidence in PCC, force and criminal justice partners is undermined. • Ineffective allocation of funding and issuing of crime and disorder reduction grants • poor use of resources • negative media iand reputational consequences regarding the public's trust and confidence in policing.	PCC (CE)	4	4	16	•• Ongoing OPCC attendance at Performance and Delivery (P&D) Board - oversight of risks. • Contract refresh (performance/financial model). CPT Manager to devise planning timeline and planning assumptions (reduce contract by £2M/annum by Sept 2015 and deliver further savings by April 2016), • G4S 10 year contract (SDA) in place, inc Governance framework, Commercial Partnership team (CPT) i to monitor performance and delivery of contract • Risk management - CPT Risk register reviewed via P&D Board - escalation process in place if any serious risks are identified • Monthly Transactional Management board in place • Performance management of contract/SKPIs/KPIs/PIs/MIs • Partnership briefings • Internal Aidit Programme • G4S Programme Director in place.	CPT/CFO CFO CE/CFO CPT Force CE/CFO CFO	3	4	12	⟺	• Watching brief: stability G4S leadership. • G4S Dialogue • Contract review scheduled **• G4S Integrated support strategy 2017 -2020 (awaiting ratification)** **• Review of contractual performance indicators being planned (Finance and CPT)** •	CE CE CFO	Ongoing Ongoing	ongoing	3	4	12	Internal Management Meeting
2	C06	CSPP LRA PTW PSV V	**Lack of Capacity** & **Resilience** in the Office of Police and Crime Commissioner	• Instability, lack of leadership in short term and need to invoke contingency plans (through Police and Crime Panel) • Inability to achieve objectives stated in Police and Crime Plan • Individual and team is vulnerable • Capacity and capability related performance issues. • Negative media coverage / reputational consequences (trust and confidence in PCC undermined)	PCC (CE)	3	4	12	• Policies and procedures • Information management • Scheme of arrangements (CE) • Police and Crime Panel in place with procedures as required. • Guidance on the occurence of a vacancy/absence, incapacity or suspension in OPCC • OPCC Business Continuity plan • DCFO appointed April 2015 • RPO replaced - appointed Dec 2015. • 2 x interns recruited Jan 2017 (12 months) • Admin Apprentice appointed - Jan 2017 • Contract in place for Comms and Media support services to PCC - Dec 2016 - **Contract extended for 6 months on 20 April 2017 .**	• CE	3	4	12	⟺	• Use of external contractors eg creation of Victims Strategy by 'Inspiration' consultancy • Requirement for digital engagement role being assessed - May 2017 • Commissioning oversight - involvement of partners / CPT being explored. **• Collaborative work with Partners on Mental Health Strategy - (LPFT) .** **• EM Regional PCC secretariat being established - June 2017 formal role evaluation underway.** **• 2 x new Interns recruited July 2017 - planned start date Sept 2017. (3 month overlap with exisitng Interns).** **• Full time CFO appointed to the force releasing some DCFO capacity for OPCC.**	CE CE CE CE CE RPO CFO	May 2015 Sept 15 Sept 2016 Sept 2016 Oct 2015 June 2017	ongoing ongoing ongoing ongoing Ongoing Sept 2017	3	3	9	Internal Management Meeting
3	C01	CSPP LRA PTW PSV V	Failure to persuade Government of Lincolnshire's case for a fairer share of **national funding**, including lack of recognition of the rural costs in the formula; compounded by potential budget cuts presented by HM Treasury in next spending review period (2014/15 – 2017/18)	• leading to more pressure on local council tax precept • and/or resulting in the PCC's inability to provide sufficient resources to deliver services.	PCC (CFO)	4	4	16	• Home Secretary letters (PCC/CC), response & letters of support • Policing Minister visit, HS visit, civil servants visits • *External assurance* - Internal audit Financial management inc budget management (Amber/Green) April 2015 • CC report 'Structure of Police Finance' - informing the debate (July 2015) • NOTE: HO Consultation on Formula Funding (Summer 2015). Deadline 15 Sept 2015. Representation at HO events (Aug and Sept). • Respond to consultations (government reviews of formula) . • National Audit Office visit as part of Home Office audit (visit Feb 2015, publish June 2015) (VfM study looking at the financial sustainability of police forces). • 2016 HMIC PEEL Efficiency report regognises Linclonshires funding / efficiency situation.	CC/CFO DCE DCE	4	4	16	⟺	• Funding formula being revisited by HO - recognition of unfairness of current formula. **• New approach to Reviewing funding formula put in place by Policing Minister.** **• Participation in Funding formula review as member of national technical reference group.** **• Participation in national (evidence based) response to HO regarding review of funding formula.**	CFO CFO CFO	Jan 2015 Oct 2016 Nov 2016	November 2016 Ongoing Ongoing	2	4	8	Internal Management Meeting

ID	Unique Ref No.	Linked to Objective	Description of Risk: Source (Lack of….Failure to ….)	Description of Risk: Consequences (Results in ….Leads to ….)	Risk Sponsor	Inherent Risk Score 1:Low…4:High: Like-lihood	Inherent Risk Score 1:Low…4:High: Impact	Overall Inherent Risk Score	Existing Controls	Owner (the do-er)	Current Risk Score 1:Low 4:High: Like-lihood	Current Risk Score 1:Low 4:High: Impact	Overall Current Risk Score	Direction of travel	New/Developing Controls (Inc Date)	Owner (responsible for new and developing controls)	Start Date	End date	Target Risk Score 1:Low….4:High: Like-lihood	Target Risk Score 1:Low….4:High: Impact	Overall Target Risk Score	Review Date
4	C02	CSPP LRA PTW PSV V	Failure to achieve and demonstrate **efficiencies, value for money** (VfM) and optimum workforce **productivity**	leading to: • PCC's inability to provide sufficient resources to deliver policing services • negative reputational consequences through media coverage. • deterioration in performance • poor use of resources • effectiveness and efficiency of policing in Lincolnshire is reduced or not improved.	PCC (CE)	4	4	16	• Savings Tracker/Resources Gov Meeting • VfM Strategy • HMIC - PEEL EFFICIENCY Nov 2016 inspection grade = "GOOD" . • Int Audit Nov 2016- overtime / time recording = 'Satisfactory' • Int Audit June 2016- Payroll = 'Satisfactory'. • Robust procurement process / arrangements in place • VfM / Efficiency plan 2017/18 - in place Feb 2017. • KPMG Audit includes VfM conclusion / opinion. • Benefits realisation strategy in place April 2017	CE/CFO CE/CFO CFO CE CFO CFO	3	4	12	⇔	• Benefits realisation plan • Internal audit plan - benefits realisation evaluation 2015/16 Q4 **• New 'change board' and "Senior management board" introduced by force with remit to monitor and manage benefits realisation elements of work.** **• Force engaged with CIPFA benchmarking programme.**	CFO CFO CFO DCC CFO		ongoing ongoing March 2016 ongoing	2	2	4	Internal Management Meeting
5	C036	CSPP LRA PTW PSV V	Failure to deliver objectives of Tri-service **"Blue Light Projgramme".**	Leading to • Loss of grant (Police Innovation Fund) • Negative reputational consequences • Negative impact on Tri-service relationship • Negative impact on delivery of Police, Fire & Rescue and Ambulance services .	PCC (CE)	3	4	16	• Formal project management methodology applied (Prince II) • Qualified project manager in place • Governance structure (monitoring & oversight) • Full Business Case • Heads of terms agreement • Collaboration agreement • Specialist role to monitor project costs (1/2 day per week utilising existing staff - till march 2018) • PCC regular 1-2-1 meetings with BL programme director.	CE / CFO FCFO PCC	4	4	16	↑	• Tri-service governance structure - (Steering Group / Programme Board,/ Project Group) • Financial governance • Links between Tri-service partners and key stakeholders • Organisational decision making **• Full grant allowance provided in 16-17 - (not spending in line with 2 yr grant period across 3 yr project. Request made to the HO to have the same dispensation for 2017/18).**	CE / CFO FCFO	May 2016 Jan 2017 April 2017 March 2017	Dec 2018 Ongoing Ongoing Ongoing	2	4	8	Internal Management Meeting
6	C033	CSPP LRA PTW PSV V	**Financial loss** (default on investments, bad debt, major incident)	Leading to • Reduced spend and inability to respond to operational demands • Negative reputational consequences	PCC (CFO)	2	4	8	• Reserves policy • Treasury Management strategy • Risk management • *External assurance - Internal Audit review 'Cash, Banking and Treasury Management' Conclusion: Amber/green* • Financial governance report to Resources Governance meeting June 2015 includes TM. • Treasury management plan 2015/16 part of Financial Strategy, published Feb 2015 Audit of online banking / investment setup - Conclusion - Significant assurance (July 2017)	CFO CFO CFO/RPO CFO CFO	1	4	4	⇔					1	4	4	Internal Management Meeting
7	C037	CSPP PTW PSV V	**Resilience & Instability in Force Chief Officer team** *(Recent significant changes in Chief Officer team)*	• Ineffective leadership - in short term • Inability to achieve operational & strategic objectives • Capacity and capability related performance issues. • Trust and confidence is undermined - (internal & external) • Deterioration in relationship with strategic partners / stakeholders - (Commercial partner (G4s) / statutory partners) • Deterioration in strategic / governance relationship with OPCC. • Lack of clarity around strategic Objectives • Lack of force vision • Sub-optimal use of resources	CE	4	4	16	• Guidance on the occurence of a vacancy/absence, incapacity or suspension of Chief officers. • Current COG remain in place until arrival of newly appointed Officers. • Temporary ACC in place - Internal promotion • CC Scheme of delegation • Contingency planning / Business continuity plans . • Guidance on the occurence of a vacancy/absence, incapacity or suspension of Chief officer. • Governance structure	CC	4	4	16	↓	**• Permanent ACC Appointed - 12 April 2017.** **• Permanent ACO Resources appointed April 2017 - commenced 19/06/17** **• DCC position to be advertised - May 2017** **• PNAC strategic command courses - arranged for 2 x Chief Supts.** **• Temporary promotion plan in place for interim Chief officer group to cover period awaiting full time recruitment process.**	CC	Ongoing		1	4	4	Internal Management Meeting
8	C038	CSPP LRA PTW PSV V	**Lack of effective service commissioning capacity** *(Limited OPCC capacity / capability to deliver full service commissioning lifecycle)*	• Ineffective leadership - in short term • Inability to achieve operational & strategic objectives • Capacity and capability related performance issues. • Trust and confidence is undermined - (internal & external) • Deterioration in relationship with strategic partners / stakeholders - (Commercial partner (G4s) / statutory partners) • Deterioration in strategic / governance relationship with OPCC. • Lack of clarity around strategic Objectives • Lack of force vision • Sub-optimal use of resources	CE	3	4	12	• Current governance structure • Current management structure • Secondment of police officers to support commissioning process. • Outsourcing elements of commissioning work to specialist external providers - (eg Victims Strategy April 2017).	CE / CC	3	4	12	⇔	**• Revised commissioning process / responsibilities under consideration - May 2017** **• Support for commissioning process being explored with Force / CPT.**	CE	Ongoing		1	4	4	Internal Management Meeting

ID	Unique Ref No.	Linked to Objective	Description of Risk: Source (Lack of….Failure to ….)	Description of Risk: Consequences (Results in ….Leads to ….)	Risk Sponsor	Inherent Risk Score 1:Low…4:High: Like-lihood	Inherent Risk Score 1:Low…4:High: Impact	Overall Inherent Risk Score	Existing Controls	Owner (the do-er)	Current Risk Score 1:Low 4:High: Like-lihood	Current Risk Score 1:Low 4:High: Impact	Overall Current Risk Score	Direction of travel	New/Developing Controls (Inc Date)	Owner (responsible for new and developing controls)	Start Date	End date	Target Risk Score 1:Low….4:High: Like-lihood	Target Risk Score 1:Low….4:High: Impact	Overall Target Risk Score	Review Date
9	C039	CSPP LRA PTW PSV V	**Ineffective relationships with Local Partners** *(Inc LCC, District Councils, Health services, Fire/ Ambulance)*	• delayed or protracted decision making • Inability to progress community safety prioities • Disengageement and inability to deliver joint objectives and outcomes for the public • Trust and confidence is undermined - (internal & external) • Lack of strategic alignment • inability to effectively manage interdependencies • Sub-optimal use of resources	CE	3	3	9	• Existing Governance structure • Existing relationships. • Collaborative agreements in place (eg Blue light programme)	PCC/CE	3	3	9	⟺	**• Community Safety, Policing and Criminal Justice Plan 2017-2021.** **• PCC to Chair CSP (TBC).** **• Development of County wide Mental Health Strategy.** **• Community Safety Team project work -Led by Supt D Pearce.** **• Audit of Lincs Road Safety Partnership planned Aug 2017.**	PCC / CE PCC CE CE CE	Ongoing Ongoing		1	3	3	Internal Management Meeting
10	CO40	CSPP LRA PTW PSV V	**Failure to plan for effective transition from current Commercial Contract arrangements.***(Contract ends in 2021/22)*	• Deterioration of relationship with partners & key stakeholders • Inability to achieve operational & strategic objectives • ineffective and inefficient service delivery model • Trust and confidence is undermined - (internal & external) • Deterioration in strategic / governance relationship with OPCC. • Lack of clarity around strategic Objectives • Negative financial impact (increased and consequential costs) • Sub-optimal use of resources	CE	3	4	12	• Contractual review arrangements in place • Governance structure / processes • Relationship with commercial partner	CE / CC	3	4	12	⟺	**• Review meeting (OPCC/Force) scheduled for 1 Aug 2017.** **• Planning underway to ensure appropriate resources alocated to the review process.**	CE CFO	1 Aug 2017 Ongoing	ongoing	2	3	6	Internal Management Meeting
11	CO41	CSPP LRA PTW PSV V	**Failure to maintain or develop beneficial regional collaborations.** (Following significant changes in regional leadership landscape - PCCs and Chief Officers)	• Ineffective relationships with regional forces • Inabilityto maintain resilience of operational services including Strategic Policing Requirement (SPR) • Negative financial implications - reduced savings / increased costs. • Trust and confidence is undermined - (internal & external) • Diminished capability to meet operational demand. • Negative media coverage - reputational dammage. • Lack of clarity around strategic Objectives • Lack of force vision • Sub-optimal use of resources	CE	3	4	12	• Regional governance structure. • 'Section 22 Agreements' in place	PCC / CE	3	3	9	⟺	**• Creation of Regional Secretariat (for PCCs) - Role evaluation by HR underway - June 2017 .** **• MJ Chair of regional PCC Business Management group (From May 2017).** **• Internal Audit reporting to include regional audits (reporting to JIAC July 27 2017)**	CE PCC CFO	Ongoing Ongoing July 2017		2	3	6	Internal Management Meeting

POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE

RISK REGISTER: CHANGE LOG

No	Date	Author	Risk URN	Item	Changes	Comments
0.1	19/06/2009	Ginny Mason	L (11/6/09 RR)	Change of government risk removed	removed	As discussed at Risk Review Group meeting 19/6/09
0.1	19/06/2009	Ginny Mason	H (11/6/09 RR)	Failure to comply with statutory duties with effective overview mechanisms	placed on non critical register	As discussed at Risk Review Group meeting 19/6/09
0.1	19/06/2009	Ginny Mason	K (11/6/09 RR)	Lack of resilience in secretariat due to small number of staff members	placed on non critical register	As discussed at Risk Review Group meeting 19/6/09
0.2	13/07/2009	Ginny Mason	A (6/7/09)	Lack of understanding about what drives trust and confidence	inherent likelihood score changed from 3 to 4	Discussed at CPG 6/7/09)
0.2	13/07/2009	Ginny Mason	C(6/7/09)	Failure to understand the public's needs and wants	inherent impact score increased from 2 to a 3	Discussed at CPG 6/7/09)
0.2	13/07/2009	Ginny Mason	G (6/7/09)	Failure to influence the force to effectively embed risk management	current impact risk score changed from 4 to a 3	Discussed at CPG 6/7/09)
0.2	13/07/2009	Ginny Mason	H (6/7/09)	Failure to comply with statutory duties with effective overview mechanisms	current impact risk score changed from a 3 to a 2	Discussed at CPG 6/7/09)
0.2	13/07/2009	Ginny Mason	D (30/6/09)	Failure to persuade government of Lincs case for a fairer share of national funding	'particularly in light of the forecasted economic outlook' added to risk source	Discussed at F&S on 30/6/09
1.1	11/08/2009	Ginny Mason	All	All risks	Updated	For consideration at Sept 09 meetings
1.2	17/09/2009	Ginny Mason	Exec Summ	Update headers/footers in exec summary	add in latest date, comments from ES Committee about marking colours to support visual aid.	
1.3	25/09/2009	Ginny Mason	All	Critical and Non Critical RR	Direction of travel column added	as agreed at C&P 14 Sept 09
1.3	25/09/2009	Ginny Mason	A (non critical)	Lack of resilience in secretariat	due to small number of staff members' - removed. Risk score changed to 3,3 in inherent and 3,2 in current. New risk to be added on the effectiveness of Member learning and development. Dev control added: Consider setting up a Task and Finish Group to consider the learning and development requirements of both new and existing Members	As agreed at HR Comm 9 Sept 09. A - Current risk score to '6', therefore move to 'critical risk register'.
1.3	26/10/2009	Ginny Mason		on the critical risk register, failure to achieve and demonstrate efficiencies and value for money,	include reference to the Audit Commission efficiency study on value for money	as agreed at AR&G 19 Sept 09
1.3	26/10/2009	Ginny Mason		on the non-critical risk register	(relating to inspection) the risk sponsor be changed from CE to Chairman AR&G	as agreed at AR&G 19 Sept 09
1.3	26/10/2009	Ginny Mason		the inclusion of a risk relating to potential breaches of the Member Code of Conduct be considered for inclusion within the risk register -	DCE advised not to add	as agreed at Ethical Standards 4 Sept 09
		Ginny Mason		the names of colours used within the Executive Summary and Critical and Non Critical Risk Registers be provided to assist persons with vision impairment	Added to executive summary - not able to add to critical and non critical risks registers	as agreed at Ethical Standards 4 Sept 09
1.4	06/11/2009	Ginny Mason	Critical	trust and confidence. As SPC didn't discuss issues at meeting on 3 Nov, (paper deferred) actions for SPC struck-through.	Highlight message re National guidance (Evidence led solutions) to be provide at C&P on 21 Dec 09	

1.4	06/11/2009	Ginny Mason	Critical	Partnership risk	Added stakeholder group work as result of Away Day 2009	
1.5	10/11/2009	Ginny Mason	Critical	Lack of resilience	Dates updated, text added to member learning and development risk (NC RR)	Prep for HR Committee 26/11/09
1.5.1	23/11/2009	Ginny Mason	Critical	Updates to T&C risk - links to John Atter email of 10/11/09		prep for SPC 3/12/09
1.5.1	24/11/2009	Ginny Mason	Non	Updates to A - stat duties	Add training	prep for ES Comm 2/12/09
1.5.2	04-Dec-09	Ginny Mason	Critical	updates to lack of understanding, ineffective relationship, failure to understand publics needs	updated actions, move to existing controls. Score changed on A from red 12 to Red 8 (discussion at SPC 3 dec 09)	prep for C&P 21 Dec 09
1.5.2	04-Dec-09	Ginny Mason	Critical	updates to lack of resilience	include member workloads after discussion at SPC on 3 Dece 09, risk score increased to 3,3 (red 9)	
1.5.2	08-Dec-09	Ginny Mason	critical	updates to F&P sponsored risks	added controls/dev controls actioned	prep for F&P 18 Dec 09
1.5.2	08-Dec-09	Ginny Mason	non critical	updates to F&P sponsored risks	added controls/dev controls actioned	prep for F&P 18 Dec 09
1.5.2	11-Dec-09	Ginny Mason	non critical	update to statutory duties risk	add in IFRS	follow up from ARG 19 Nov 09
1.5.2	11-Dec-09	Ginny Mason	non critical	update to 'failure to identify risks'	update control mechanisms	follow up from ARG 19 Nov 09
1.5.2	11-Dec-09	Ginny Mason	non	update to 'inability to set meaningful'	updates controls	update following P T&F Group 9/12/09
NOTE		GM/HH	n/a	Force concern about internal audit report (AR&G 19 Nov 09) in public domain (data security)		HH meeting with Layla Hughes w/c 21 Dec - appendix redacted from website, cover paper in public domain only.
1.6	06-Jan-10	GM	H	inspections	Pledge specifically noted, mitigation added	
1.6.1	14-Jan-10	GM	All	All risks	updates to existing controls, planned measures and dates (inc review dates)	prep for FPA - Exec Summary
1.6.1	15-Jan	GM	Non crit F&P	F&P related	updates	for F&P comm 9 Feb 2010
1.6.2	20-Jan	GM	Critical	poor results, lack of understanding, ineffective relationships. Lack of resilience		Comments from SPC 19 Jan 2010
1.6.3	03-Feb-10	GM	Critical & Non critical	All risks	direction of travel arrows updated based on a judgement about how we are addressing the risk, rather than based on the movement of the score (as previously detailed)	comments from LPA 29 Jan 2001
1.6.3	03/02/2010	GM	issues log	need to gain clarity and understanding re levels of T&C	removed from priority actions required	comments from LPA 29 Jan 2001
1.6.4	Feb-10	GM	Critical & Non critical	direction of travel arrow updated	Members considered that the arrows used in the Authority's critical and non critical Risk Registers to indicate direction of travel should be consistent with the Force Risk Register i.e. pointing down to indicate a reducing risk and pointing up to indicate increasing risk.	comments from SPC 16 Feb 2010
1.6.5	09-Mar-10	GM	Critical & Non critical	Unique ref number	unique ref number added	comments from SPC 16 Feb 2010
1.6.5	10-Mar-10	GM	non critical	inspections	added update from HH (inspections on agendas, inspection training day)	
1.6.5	10-Mar-10	GM	critical	relationships with partners	Added AC work with LCJB (Hate crime)	ARG 26/2/10
1.6.5	10-Mar-10	GM	critical	resilience risk	arrow changed from increasing to 'no change'	ARG 26/2/10
1.6.5	10-Mar-10	GM	critical	poor results	added 'lessons learned/good practice from other PA'	ARG 26/2/10
1.6.5	11-Mar-10	GM	Critical	All risks	Various - feedback from Secretariat team meeting (10 March 2010)	
1.6.6	29-Mar-10	GM	Critical	C&P risks	updates from Committee	plus JA updates to existing controls
1.6.6	29-Mar-10	GM	Critical	D&F	updates from AR&G	

2.0	20 April 2010	GM/Risk Review Group 20 April 2010	Critical	CO1 (failure to achieve vfm)	consequences updated, controls updated	
2.0	20 April 2010	GM/Risk Review Group - 20 April 2010	Critical	CO2 (failure to persuade gov)	consequences updated, controls updated, target score changed to 3,3, 9.	
2.0	20 April 2010	GM/Risk Review Group - 20 April 2010	Critical	C03 (Force risk management)	source updated, controls updated, target score changed to 1,3, 3.	
2.0	20 April 2010	GM/Risk Review Group - 20 April 2010	Critical	CO4 (lack of resilience)	consequences updated, controls updated, inherent score changed to 3, 4, 12, current score - 3, 4, 12.	
2.1	12 May 2010	GM/Risk Review	Critical	C05 (lack of understanding T&C)	Redined - changes to source/consequences, controls updated	
2.1	12 May 2010	GM/Risk Review	Critical	C06 (ineffective relationship)	split into 2 risks, updated risk scores	
2.1	12 May 2010	GM/Risk Review Group - 11 May 2010	Critical	CO7 (Failure to understand public's needs and wants)	controls updated, direction arrow changed to risk reducing	
2.1	12 May 2010	GM/Risk Review Group - 11 May 2010	Critical	CO8 (poor results)	inherent score changed to 3, 4,12. current score 3,3,9. controls updated	
2.1	12 May 2010	GM/Risk Review Group - 11 May 2010	Critical	CO9 (collaboration)	inherent score changed to 3, 3,9. current score 3,3,9. controls updated	
2.1	12 May 2010	GM	Non Crit	NC02 - failure to identify risks	Suggest current score changed to 1,2 2	agreed at ARG 28 June 2010
2.1	12 May 2010	GM	Non Crit	NC04 - insufficient plans and prep (inspection)	Duplication (critical risk register, removed)	
2.1	12 May 2010	GM	Non Crit	NC05 - resources and performance	Sponsor changed to just Chairman F&P, controls updated, direction of travel changed to 'risk reducing'	
2.1	12 May 2010	GM	Non Crit	NC07 - training and development	direction of travel changed to stable.	
2.1	17 May 2010	GM	Critical	C03 (Force risk management)	BW email (17/510) added discussions with force to align PA and Force registers	

2.1	17 May 2010	GM	Critical	C08 (poor results)	BW email (17/510) added actions around inspections	
2.1	18 May 2010	GM	Critical	CO4 (lack of resilience)	RM email (18/5/10) updated new controls to reflect permanent appointment of DCE	
2.1	18 May 2010	GM	Critical	CO1 (failure to achieve vfm)	RM email (18/5/10) VFM Board is chaired by the Chairman. It was the intention that the Board was jointly chaired by the Chairman and DCC however I note that the DCC chaired the 27 April meeting, according to the minutes.	
2.1	18 May 2010	GM	Critical	C08 (poor results)	RM email (18/5/10) Addition to consequences: poor morale in staff and membership leading to deteriorating performance and possible loss of staff	
2.1	18 May 2010	GM	Critical	CO9 (collaboration)	RM email (18/5/10) Addition to consequences: financial loss associated with collaboration costs	
2.1	20-May-10	GM	Non critical	NC05 - resources and performance	RM email (18/5/10) GM raised with JF and she feels that the inherent score may need to be higher. She also felt that this risk may become more important as time goes on in light of the national spending review/cuts etc and understanding the impact if money needs to be taken out of the system. I think she feels that we should keep an eye on this one. 'Watching brief' added	
2.2	02-Jul-10	GM	critical	Various	update control mechanisms - in light of government anouncements (eg UoF, CAA, Policing Pledge, T&C target).	
2.3	15-Jul-10	GM	critical	inspections	update control re postoned inspections	follow up from ARG 28 June 2010
2.3	15-Jul-10	GM	critical	funding	new risk - fairer share stays, but add in the general funding risk	follow up from ARG 28 June 2010
2.3	26-Jul-10	GM	critical	funding	add info about meetings with Lincs Mps and regional MPs re effects of funding formula and damping effects (source Chairman's update in 23/7/10 PA newsletter)	
2.3	28-Jul-10	GM	critical	lack of resilience	new/dev controls - query added. Start and end dates - requesting more clarity. Review dates updated.	
2.3	28-Jul-10	GM	critical	lack of general funding	additional consequence added. Actions to be est.	
2.3	28-Jul-10	GM	critical	failure to achieve vfm	internal audit updated, HMIC report updated. Cultural controls moved from new to existing/updated.	
2.3	28-Jul-10	GM	critical	risk management	RPO assistance with Force RO added (existing control)	
2.3	28-Jul-10	GM	critical	poor results	inspection date related controls updated.	
2.3	28-Jul-10	GM	critical	fairer share of funding	emergency budget element added to consequences.	
2.3	28-Jul-10	GM	critical	confidence	Partnership T&FG moved from dev control to existing. Dates highlighted for confirmation.	
2.3	28-Jul-10	GM	critical	ineffective relationship with force	dev control updated re follow up to away day at petwood	
2.3	28-Jul-10	GM	critical	ineffective relationship with partners	moved to non critical rr. New/dev controls updated (see minutes of C&P). Feedback form also agreed.	score changed at C&P 21 July 2010
2.3	28-Jul-10	GM	critical	Failure to understand the public's needs and wants	new /dev controls moved to existing (as/minutes C&P 21 July 2010)	
2.3	28-Jul-10	GM	critical	new emerging risk re fragility of partnerships	added	risk assessment form circulated to C&P.
2.3i	03-Aug-10	GM	critical	resilience risk	moved members monitoring workload to existing controls	
2.4	07-Sep-10	GM	critical	new emerging risk re focus and commitment in lead up to proposed abolition of PAs	added controls	from SPC 2 Sept 2010
2.4	09-Sep-10	GM	critical	resilience risk	score changed from red 12 (3,4) to amber 6 (2,3), new controls updated (some moved over to existing, others deleted eg succession plan, as no point given PA abolition) new developing control, CE monitoring staff resilience.	from HR Comm 9 sept 2010
2.4i	10-Sep-10	GM	critical	business continuity risk	add in new dev control	for AR&G to consider on 23 sept
2.5	27-Sep-10	GM	critical	efficiencies and VFM	take out historic controls. 'Threat to future of PAs' taken out of consequences.	AR&G agreed 23 Sept 2010 at GM discretion.
2.5	27-Sep-10	GM	critical	risk management	take out historic controls. Add in confidential board.Update dates.	AR&G agreed on 23 Sept, needs to stay as is, will review in dec. If evidence that embedded in COG.
2.5	27-Sep-10	GM	critical	inspections	take out historic controls. Move new controls to existing. Add new existing controls.	AR&G agreed on 23 Sept, needs to stay as is, will review in dec.
2.5	27-Sep-10	GM	critical	fairer share of funding	take out historic controls, add new DCLG Formula consultation (F&P)	
2.5	27-Sep-10	GM	critical	collaboration		LPA 24 Sept reviewed, DCC update. LPA agreed needs to stay red.
2.5	27-Sep-10	GM	critical	confidence	updated - strikethrough added to out of date controls, C&P to review 13 Oct.	LPA 24 Sept advised that C&P need to review.
2.5	27-Sep-10	GM	critical	resilience risk	take out historic controls	
2.5	27-Sep-10	GM	critical	ineffective rel with force	take out historic controls	

2.5	27-Sep-10	GM	critical	Failure to understand the public's needs and wants	take out historic controls. Add in additional controls	email conversation with Chairman of C&P.
2.5	27-Sep-10	GM	non crit	Failure to co-operate and engage with partnership scrutiny work	target score reached, taken off register	agreed at ARG 23 Sept 2010. email conv with C&P Chairman
2.5	27-Sep-10	GM	non crit	All risks	take out historic controls	agreed at AR&G 23 Sept 2010
2.5	06/10/2010	GM	crit	efficiencies and VFM	direction of travel note taken out - (re-evaluate once VfM Board operating)	Agreed at F&P 28 Sept
2.5	06/10/2010	GM	crit	lack of general funding	Financial and strat planning paper …' new control moved to existing control	Agreed at F&P 28 Sept
2.5	20/10/2010	GM	crit	Failure to persuade government of Lincs case for a fairer share of national funding	formula funding consultation - moved from new controls to existing.	F&P (28 Sept 2010)
2.6	25/10/2010	GM	crit	C&P risks	updated following C&P mtg on 13 Oct 2010	
2.7	11/11/2010	GM	crit	F&P related	changes to C12 risk score and d/o/t and controls. Changes to C01 risk score and d/o/t and dev controls Changes to C02 controls	following F&P on 4 Nov 2010
2.7	11/11/2010	GM	crit	ineffective rel with force	update new/dev controls with report going to FPA on 26 Nov 2010	prep for SPC report 1 Dec 2010
2.7	11/11/2010	GM		Failure to understand the public's needs and wants	update controls, move new/dev controls to existing	prep for SPC report 1 Dec 2010
2.7	11/11/2010	GM	non crit	various	update and tidy up	
2.7	17/11/2010	GM	crit	c12 general funding	update existing and new controls	prep for SPC report 1 Dec 2010
2.7	19/11/2010	GM	crit	business continuity risk	updated BC risk research - new/dev moved to existing.	prep for SPC report 1 Dec 2010
2.8	08/12/2010	GM	crit	maintain concentration	no change' arrow added	SPC discussions
2.8	09/12/2010	GM	crit	ineffective rel with force	HMIC support and challenge mtg	SPC discussions
2.8	09/12/2010	GM	crit	collaboration	arrow - reviewed, no change. Update controls after discussions with John Cooke.	SPC discussions
2.8	13/12/2010	GM	crit	efficiencies and VFM	updated dev controls, JC advice from Force Prog Board 10/12/10	
2.8	13/12/2010	GM	crit	lack of general funding	updated dev controls, move across to existing.	Prep for F&P 21 Dec 2010
2.8	13/12/2010	GM	crit	Failure to understand the public's needs and wants	update dev controls - budget sim	prep for C&P Jan 2011
2.8i	05/01/2011	GM	non crit	failure to identify the risks that would prevent or disrupt	remove from non critical	agreed at AR&G 15 Dec 2010
2.8i	05/01/2011	GM	crit	secretariat resilience	HR committee reviewed - agreed to leave as is	agreed at HR Comm 9 Dec 2010
2.8i	05/01/2011	GM		none	None, comments made at Professional Standards Committee on 14/12/10	comments on stability of leadership in Prof Standards dept with numerous changes in senior management (Paula Wood leaving in 15 months, new structure, Rick hatton). To be raised informally.
2.9	12/01/2011	GM	crit	Failure to persuade government of Lincs case for a fairer share of national funding	remove from critical register as this is an issue (live and current) rather than a risk	agreed at F&P on 10/1/11. Agreed to monitor this via the F&P workplan (already on it)
2.10.	18/01/2011	GM	crit	business continuity risk	move new/dev control re LPA BC plan to existing. Update new/dev control to reflect BC Panel meeting with ACC Bannister on 17 Jan 2011.	Discussed at SPC 17 Jan 2011
2.10.	18/01/2011	GM	crit	risk management	updated control - added risk maturity review	
2.10.	18/01/2011	GM	crit	collaboration	updated control - moved new/dev to existing. Added control to refelct discussions at SPC	Discussions at SPC 17/1/11
2.10.	18/01/2011	GM	crit	poor results	updated new controls column, S&C meeting in Dec moved. Follow up meeting in Feb 2011 added	Discussions at SPC 17/1/11
2.10.	18/01/2011	GM	crit	ineffective rel	updated controls	Discussions at SPC 17/1/11
2.10.	18/01/2011	GM	crit	transformational change	new risk	Discussions at SPC 17/1/11, JF 18/1/11
2.10a	20/01/2011	GM	issues log	issue log	C&P action complete	
2.10a	20/01/2011	GM	Crit	publication of data T&C	current score changed from impact 4 to 3. Add existing controls, update new/dev	C&P discussions 20/1/11
2.10a	20/01/2011	GM	crit	understanding publics needs and wants	current score changed from likelihood 3 to 2. Target risk score met. Removed from register.	C&P discussions 20/1/11
2.10a	20/01/2011	GM	crit	fragility of partnerships	current score changed from impact 2 to 3. addition to new/dev controls	C&P discussions 20/1/11
2.10a	20/01/2011	GM	non crit	ineffective relationship with partners	merge with fragility of partnership risk	C&P discussions 20/1/11
2.10a	20/01/2011	GM	crit	value for money	update existing and new controls. Input from Justin Partridge on VFM profile analysis.	prep for LPA discussions at mtg on 28/1/11

2.10a	26/01/2011	GM	crit	lack of general funding	add "T has agreed with ACO that risk assessment of each financial saving will be provided for F&P (to scrutinise/review as part of budget setting process)" to new/dev controls	disucssions at FPA risk meeting pre-brief (CE, T, DCE, RPO)
2.11	16/02/2011	GM	crit	ineffective relationship with force	update dev and existing controls	ref LPA meeting with Chief Officers - Lawress Hall 10 feb 2011
2.11	16/02/2011	GM	crit	failure to optimise the benefits through PCP	update dev and existing controls	ref LPA meeting with Chief Officers - Lawress Hall 10 feb 2011
2.11	16/02/2011	GM	crit	value for money	Review VfM profiles (in dev controls) completed, through F&P 10 Feb 2011, moved to existign controls. Add relationship of VfM to Assurance Framework	
2.11	16/02/2011	GM	non crit	performance	update controls, move new/dev controls to existing. Assurance framework, performance review in April.	F&P considered at 10 Feb 2011, agreed not to change direction of travel arrow. Qu asked, what more needs to be done?
2.11	17/02/2011	GM	crit	collaboration	update new/dev controls - take off internal audit, collaboration and mobile data	discussions with Julie - 17/2/11
2.12	08/03/2011	GM	crit	resilience risk - re-frame to more of a PCP focus	new risk - new controls, new dev controls. New current score = 4, therefore on non-critical RR	**as time passes, the likelihood score will increase and so it may need to be transferred to the critical risk register (HR 8 March 2011)**
2.12	08/03/2011	GM	non	lack of effective member l&d	archive	HR Committee agreed to remove (8 March 2011)
2.12	09/03/2011	GM	cri	reg collab	take out 'strike through' text re regional collaboration risk	
2.12	09/03/2011	GM	crit	PCP risk	add in commentary about when risk was reviewed	Discussions at mtg to finalise AR&G RB and PS, JF
2.13	30/03/2011	GM	crit	PCP risk	update controls and dev controls	prep for SPC on 14 April 2011
2.13	31/03/2011	GM	crit	BC risk	update new/dev controls. AR&G agreed to keep DoT arrow as 'no change'.	Discussed at AR&G 22 March 2011.
2.13	31/03/2011	GM	crit	lack of general funding	add new/dev control CE/T mtg to clarify timetable/plan	Discussed at AR&G 22 March 2011.
2.13	31/03/2011	GM	crit	Poor results	update existing controls, dev controls (custody inspection)	Discussed at AR&G 22 March 2011.
2.13	31/03/2011	GM	crit	collaboration	due diligence checks - new/dev control added	Discussed at AR&G 22 March 2011.
2.13	05/04/2011	GM	crit	fragility of partnerships	add control - dev of terms of ref for partn/outside bodies	prep for C&P
2.13	05/05/2011	gm	crit	All risks	update review dates.	
2.13	05/05/2011	gm	crit	efficiencies and VFM	add in dev controls (Efficiency KPI/benefits realisation mobile data)	from F&P 27 April 2011
2.13	05/05/2011	gm	crit	PCP risk	no change' arrow added	from SPC 14 April
2.13	05/05/2011	GM	crit	fragility of partnerships	add in about CSB away day	from C&P 19 April
2.13	05/05/2011	GM	crit	confidence	move public service charter from new/dev to existing.	from C&P 19 April
3.0	23/05/2011	GM	crit/non crit	All risks	objectives refreshed	Risk management task and finish group
3.0	23/05/2011	GM	critical	PCP risk	change of scope (was narrow scope relating to PCP, changed to broaden out to longer term change plans)	Risk management task and finish group
3.0	23/05/2011	GM	critical	general funding	remove and archive. No longer a risk, its happening now, it's an issue. Not in the Authority's strategic objectives anymore.	Risk management task and finish group
3.0	23/05/2011	GM	critical	publication of data T&C	remove.	Risk management task and finish group
3.0	23/05/2011	GM	critical	new risk - performance	merge also with 'setting performance challenge' and linking resources and performance non-critical risks.	Risk management task and finish group
3.0	23/05/2011	GM	critical	new risk - effective planning	add	Risk management task and finish group
3.0	23/05/2011	GM	critical	merge uncertainty re PCP with lack of focus risk	update	Risk management task and finish group
3.0	23/05/2011	GM	critical	include non-critical risk on critical risk register		Risk management task and finish group
3.0	27/05/2011	GM	critical	change process	addition of controls (as/conversations at LPA on 27 may 2011)	
3.0	27/05/2011	GM	critical	regional collaboration	due diligence checks - moved to existing controls	conversation and review of paper at LPA meeting on 27
3.0	17/06/2011	GM	crit	BC risk	reference to LPA's bc arrangements in definition removed as these are in place now.	prep for AR&G on 27 June 2011
3.0	22/06/2011	GM	crit	All risks		Approved by SPC (22/6/11)
3.1	27/06/2011	GM	crit	PCP converging pressure points	update controls (moved new/dev controls to existing)	
3.1	27/06/2011	GM	crit	BC risk	AR&G agreed no change on arrow	AR&G committee 27/6/11
3.1	27/06/2011	GM	crit	performance	add existing control (review of perf at LPA training day)	
3.1	27/06/2011	GM	crit	fragility of partnerships	update controls (moved new/dev controls to existing)	prep for C&P 14 July
3.1	08/07/2011	GM	crit	converging pressure points	update new/dev controls (preps on 22 July and 5 August)	
3.1	08/07/2011	GM	crit	efficiencies and VFM	add in ACO report to FPA on ICT/Asset strat (cap prog)	
3.1	08/07/2011	GM	crit	collaboration	added new/dev controls (as/HMIC letter [Zoe B] to Force/LPA on 4 July 2011)	
3.1	08/07/2011	GM	crit	PCC	add in transition plan project structure	report went to SPC 22 June 2011
3.1	12/07/2011	GM	crit	risk management	add in 2nd internal audit review, move 1st review to existing controls	

3.1	12/07/2011	GM	crit	Partnership risk	add in internal audit review	
3.1	12/07/2011	GM	crit	PCP converging pressure points	add in internal audit review (change management)	
3.1	12/07/2011	GM	crit	efficiencies and VFM	add in internal audit review	
3.1	12/07/2011	GM	crit	planning	add in internal audit reviews	
3.2	15/07/2011	GM	crit	Partnership risk	add in controls following C&P meeting, risk scores changed from 3 to 4 (likellihood)	C&P meeting 14 July 2011
3.2	27/07/2011	GM	crit	failure to optimise the benefits	add in HMIC preparedness control, tidy up, remove some control text	
3.2	27/07/2011	GM	crit	business continuity risk	update dev and existing controls	
3.2	27/07/2011	GM	crit	efficiencies and VFM	update existing controls (HMIC report) check with Force when mobile data realisation report due to be completed.	
3.2	27/07/2011	GM	crit	effective plans	update dev and existing controls	
3.2	27/07/2011	GM	crit	Partnership risk	tidy up existing controls	
3.2	15/08/2011	GM	crit	collaboration	add in existing controls - regional risk reg (via Orchid) in development	
3.3	26/09/2011	GM	crit	risk management	update to controls and score	agreed at AR&G 26/9/11
3.3	26/09/2011	GM	crit	inspections	definition of risk to be re-cast	agreed at AR&G 26/9/11
3.3	03/10/2011	GM	crit	partnerships	update to controls	as highlighted by JA at FPA 30/9/11
3.4	05/10/2011	GM	crit	failure to optimise	add 'review of PCP' to new controls as highlighted by ACC Smy at FPA 30 sept.	
3.4	05/10/2011	GM	crit	business continuity risk	move new control ARG assurance level to existing	
3.4	05/10/2011	GM	crit	effective plans	update new/dev controls (BTP, procurement strat)	
3.4	05/10/2011	GM	crit	inspections	re-defined inspections risk, based around inspection/regulatory process. Controls updated. New Risk ID created, C20	agreed at ARG 26 Sept 2011
3.4	05/10/2011	GM	crit	risk management	retrospective review of risk scores, recs to committees	as highlighted by BW at LPA 30 sept 2011
3.4	05/10/2011	GM	crit	collaboration	update controls (existing/dev) based on FBC going to full auth	
3.4	05/10/2011	GM	non	stat regs	update controls, remove IFRS from definition	
3.4	06/10/2011	GM	crit	collaboration	add in HR as reviewer, plus updates about TUPE/pensions issues	as discussed at HR Committee 6 Oct 2011
3.5	12/11/2011	GM	crit	optimise benefits	archive some historic controls, add new updates.	prep for SPC 25/11/11
3.6	05/12/2011	GM	crit	PCC	re-word failure to concentrate on priorities given the abolition of Pas - update unique ref number.	agreed at SPC 25/11/11
3.6	05/12/2011	GM	crit	BC risk	update controls, risk score	agreed at SPC 25/11/11
3.6	05/12/2011	GM	crit	collaboration	update controls, dot arrow changed to improving	agreed at SPC 25/11/11
3.7	20/12/2011	GM	crit	failure to op	add in comments about BTP	feedback from JP
3.7	20/12/2011	GM	non crit	statutory duties	add in EHRC equalities audit plus Home office non stat guidance	prep for Jan 2012 mtgs
3.8	16/01/2012	GM	crit	optimise benefits	update controls, report to AR&G.	
3.8	16/01/2012	GM	crit	business continuity risk	update control - date of BCM board changed to Feb 2012	
3.8	16/01/2012	GM	crit	vfm	update controls - vfm board	post discussions at F&P committee 13 Jan 2012
3.8	16/01/2012	GM	crit	performance	moved KPI group (dev controls) to existing controls	post discussions at F&P committee 13 Jan 2012
3.8	16/01/2012	GM	crit	inspections	add in information about inspections	
3.8	27/01/2012	GM	crit	fragility of partnerships	add in 'paper to board, then consultation'	discussions at C&P on 17 Jan 2012
4.1	15/02/2012	GM	crit	optimise benefits	revised (simplified risk) now referenced C22	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	police officer numbers/performance	new risk - C23	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	business continuity risk	updated controls	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	fragility of partnerships	updated controls	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	planning -> transition planning	updated definition to include transition (revised risk ref C17) updated controls	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	collaboration	Updated controls, historical archiving	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	inspections	Updated controls, historical archiving	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	risk management	Updated controls, historical archiving	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	performance	Updated controls, historical archiving	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	PCC	Updated, added in extra clarification re intro of PCC	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	relationships with force	Updated controls, historical archiving	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	vfm	Updated controls, historical archiving	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	governance of strategic partnership	new risk (C24)	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	crit	relationship with strategic partner	new risk (C25)	Risk Task and Finish Group 14 feb 2012
4.1	15/02/2012	GM	non crit	effective handover to PCC	new risk (NC02)	Risk Task and Finish Group 14 feb 2012
4.2	23/02/2012	GM	crit	various	new controls added (in red)	following meeting with MB 21/2/12
4.3	24/02/2012	GM	crit	strategic partnership (gov and relationship)	merged risk	following meetiing with JF 23/2/12
4.3	24/02/2012	GM	crit	various	controls updated	following meeting with JF 23/2/12

4.4	28/02/2012	GM	crit	BC risk	dev control updated following JA attendance at BCM Board on 23 feb 2012	
4.4	09/03/2012	GM	crit	PCC	add control about HMIC S&C inspection	
4.5	22/03/2012	GM	crit	All risks	updated following AR&G. assurance route added where appropriate	
4.6	29/03/2012	GM	crit	budget deficit	new risk added (C26)	SPC discussions
4.6	29/03/2012	GM	crit	effective handover to PCC	risk score changed from 2 x 2 = 4 to 2 x 3 = 6	SPC discussions
4.7	17/05/2012	GM	crit	general	update follow up dates	
4.7	17/05/2012	GM	crit	vfm	added controls	following F&P 16/5/12
4.7	22/05/2012	GM	crit	budget deficit	update F&P to monitor	following SPC 25 April 2012
4.7	22/05/2012	GM	crit	business continuity risk	add comment about new ACC PS	following SPC 25 April 2012
4.8	22/06/2012	GM	crit	workforce	arrow added - stable. Report to SPC then FPA	following SPC 21 June 2012
4.8	22/06/2012	GM	crit	BC	arrow changed from improving to deteriorating. Comments added about next BC board	following SPC 21 June 2012
4.8	22/06/2012	GM	crit	effective relationship	arrow added - stable	following SPC 21 June 2012
4.8	22/06/2012	GM	crit	transition delivery	arrow added - stable	following SPC 21 June 2012
4.8	22/06/2012	GM	crit	collaboration	int audit dev control added	following SPC 21 June 2012
4.9	11/07/2012	GM	crit	BC	score change from red 12 to red 16	following SPC 21 June 2012
4.9	13/07/2012	GM	crit	relationship with strategic partner	added in note and new/dev control	following ARG 27 June 2012
4.9	13/07/2012	GM	crit	inspections	updated new/dev controls re HMIC inspection reports (published)	following ARG 27 June 2012
4.9	26/07/2012	GM	crit	budget deficit	update following LPA consideration of MTFS	for SPC 3 august 2012
4.9	27/07/2012	GM	crit	partnership	update following C&P, additional controls	from C&P 27 July 2012
4.9	03/08/2012	GM	crit	PCC & effective handover	update following HMIC PCC report	
4.9	03/08/2012	GM	non crit	statutory duties	update controls, gov framework	
4.9	06/08/2012	GM	crit	budget deficit	direction of travel agreed: increasing	agreed at SPC 05/08/12
4.9	06/08/2012	GM	crit	workforce/performance	direction of travel changed to increasing	agreed at SPC 05/08/12
4.10	05/09/2012	GM	crit	workforce/performance	added control - VfM board oevrsight	agreed at SPC 3/8/12
4.10	05/09/2012	GM	crit	benefits realisation	added IA report control	prep for SPC 20/9/12
4.10	05/09/2012	GM	crit	budget deficit	DoT changed to static. Factors not able to influence noted.	agreed at SPC 20 Sept 2012
4.10	05/09/2012	GM	crit	workforce	Dot changed to static.	agreed at SPC 20 Sept 2012
4.10	05/09/2012	GM	crit	BC	assessed after AR&G, feedback from Portfolio holder	agreed at SPC 20 Sept 2012
5.0	08/10/2012	GM	crit	budget deficit	update controls	discussed at FPA 28 Sept 2012
5.0	08/10/2012	GM	crit	workforce	update controls	discussed at FPA 28 Sept 2012
5.0	08/10/2012	GM	crit	business continuity risk	update controls. Score change from 4 likelihood to 3. DoT changed from deteriorating to improving. Discussed at ARG and approved at LPA 28 Sept 2012	discussed at ARG 20 Sept and at FPA 28 Sept 2012
5.0	08/10/2012	GM	crit	benefits realisation	update controls	discussed at FPA 28 Sept 2012
5.0	08/10/2012	GM	crit	VfM	update controls	discussed at F&P 4 Oct 2012
5.0	09/10/2012	GM	crit	effective relationship	update controls	discussed at FPA 28 Sept 2012
5.0	09/10/2012	GM	crit	transition delivery	remove from register. Replace with re-scoped risk relating to transformational risk.	discussed at FPA 28 Sept 2012
5.0	09/10/2012	GM	crit	transformational delivery	new risk. Risk unique ref: C28. Controls and Dev controls added.	discussed and agreed at FPA 28 Sept 2012
5.0	09/10/2012	GM	crit	partnerships	wording updated. Risk score changed to Red 9 likelihood changed from 4 to 3.	discussed and agreed at FPA 28 Sept 2012
5.0	13/11/2012	GM	crit	failure to maintain concentration (PCC)	remove, no longer relevant	preparation for PCC
5.0	13/11/2012	GM	crit	effective handover to PCC	remove, no longer relevant	preparation for PCC
5.1	12/04/2013	GM	crit and non	various	add in External assurance - extracts from Internal Audit plan	
5.1	12/04/2013	GM	crit	collaboration	updated following Audit comm	Follow up from Audit Comm on 28 March 2013
5.1	12/04/2013	GM	crit	Force objectives delivered	updated following publication of plan and strategies.	Follow up from Audit Comm on 28 March 2013
5.1	12/04/2013	GM	crit	resilience	added in police and crime panel	Follow up from Audit Comm on 28 March 2013
5.1	12/04/2013	GM	crit	alignment with partners	add in planning day, add in dates	
5.1	12/04/2013	GM	crit	business continuity risk	added in actions sourced from BCM Board in March 2013	
5.1	16/04/2013	GM	crit	strategic partnership objectives	add in CPT info in existing controls and dev controls	checked and cleared by CFO 16/4/13
5.2	17/06/2013	gm	crit	All risks	update various new/dev controls	prep for audit committee June 2013
5.2	05/07/2013	gm	crit	national funding	add info about oxford economic review, HA Select comm	from Audit Comm 27 June 2013
5.2	05/07/2013	gm	crit	efficiencies and VFM	add in timeline required and overall plan	from IMM 28 June 2013
5.2	05/07/2013	gm	crit	BC	NOTE - once ICT in, amend score...	from IMM 28 June 2013
5.2	05/07/2013	gm	crit	resilience	add in panel administrators and opcc meeting	from IMM 28 June 2013
5.2	05/07/2013	gm	crit	panel	change of score - inherent from 2,3 to 3,4 and current to 2,4.	from IMM 28 June 2013, MB and JF in agreement
5.2	05/07/2013	gm	crit	transparency	add in accountability meetings	from IMM 28 June 2013.
5.3	21/08/2013	gm	all crits	All risks	updated in prep for IMM	
5.4	10/10/2013	GM	crit	stage 2	new risk - discussed at IMM 7 Oct 2013	unique ref number C29

5.5	07/11/2013	GM	crit	panel	arrow change from increasing to stable	IMM 7 Nov 2013
5.5	07/11/2013	GM	crit	various	updates to controls	IMM 7 Nov 2013
5.5	12/11/2013	GM	crit	BC	updates to controls, change to score - now 1,4	prep for audit Committee Nov 2013
5.6	10/12/2013	GM	crit	various	updates to controls	
5.6	06/01/2014	GM	crit	various	questions posed for IMM on dev controls.	IMM on 9 Jan 2014
5.6	14/01/2014	GM	crit	stage 2	controls updated	IMM 13/1/14
5.6	29/01/2014	GM	crit	collaboration	update controls - int audit report, efficiency review	following meeting with JF
5.6	29/01/2014	GM	crit	new risk Legal action	New risk C30. Added	following discussion at IMM and meeting with JF
5.6	29/01/2014	GM	crit	national funding	dev controls moved to existing controls	
5.6	05/02/2014	GM	crit	legal action	dev controls amended (provision of costs moved from existing control to dev control).	following discussion at IMM 5/2/14
5.7	11/03/2014	GM	crit	objectives	controls added (plans/int audit	prep for audit comm 28/3/14
5.8				resilience	update to controls (intern) and dev controls (v&w work)	prep for audit comm 28/3/14
5.8				reputation	add in E&C manager post	prep for audit comm
5.8				financial governance	add in audit results	prep for audit comm
5.9	30/04/2014			stage 2	removed from register	as agreed IMM 17 April 2014
	30/04/2014			strategic partner	risk score changed from 3 x 3= 9 to 3 x 4 = 12. upward arrow	as agreed IMM 17 April 2014
5.9	13/05/2014	GM	crit	resilience and objectives	VWP lead officer in place	prep for IMM 15 April 2014
5.9	15/05/2014	GM	crit	reputation	improving dot arrow	agreed at IMM 15/5/14
5.9	15/05/2014	GM	crit	governance	add scheme of governance	agreed at IMM 15/5/14
5.9	15/05/2014	GM	crit	panel	change - MOU replaces ISA	agreed at IMM 15/5/14
5.1	04/06/2014	GM	crit	financial governance	update to int audits	prep for IMM June 2014
				resilience	minor update	
				reputation	minor update	
6	18/08/2014	GM		all risks reviewed	change in risk appetite. Updates to all	prep for JIAC
6.1	09/09/2014	GM	crit	strategic partners	inherent score change to 3,4 = red 12	post JIAC
				governance transparency	target score changed 1, 2 = green 2	post JIAC
6.2	16/09/2014	GM	crit	new risk - succession planning	new C31	as agreed at IMM
6.3	03/10/2014	GM		succession planning	additonal controls, amends	as discussed at IMM 1 oct 2014
				efficiencies and VFM	additional controls	as discussed at IMM 1 oct 2014
				police and crime panel	score change to 2x4 = 8. Controls updated	as discussed at IMM 1 oct 2014
				business continuity risk	archived, review oct 2015	as discussed at IMM 1 oct 2014
				strategic partner	additional controls	as discussed at IMM 1 oct 2014
				Force objectives delivered	additional controls	as discussed at IMM 1 oct 2014
				financial governance	score change to 3x4 = 12. controls updated	as discussed at IMM 1 oct 2014
6.3	06/10/2014	GM		strat alignment	controls updated	as discussed at IMM 1 oct 2014
6.3	06/10/2014	GM		governance and trans	change ref number to C32	
6.3	06/10/2014	GM		financial loss	change ref number to C33	
6.4	04/12/2014	GM		all	updates to controls/dev controls	prep for IMM
6.4	09/12/2014	GM		collaboration	changes to dev control. Regional Transformation Directorate (CE lead) out. CJ in.	updates following IMM 8/12/14
6.4	09/12/2014	GM		strategic partner	DoT change to stable. ISOS and Change prog added	updates following IMM 8/12/14
6.4	09/12/2014	GM		panel	score change to 1x3 (controls added)	updates following IMM 8/12/14
6.4	09/12/2014	GM		reputation	note added re rep damage of lobbying strat	updates following IMM 8/12/14
6.5	09/01/2015	GM		national funding	dev controls added	updates following IMM 8/1/15
6.5	09/01/2015	GM		resilience	score change to 4x4=16 (VWPOL post)	updates following IMM 8/1/15
6.5	09/01/2015	GM		governance/trans	addition made - ELPB Specified orders	updates following IMM 8/1/15
6.5	09/01/2015	GM		new risk	new risk added (C34) delivery of victims work	updates following IMM 8/1/15
6.5	16/01/2015			new risk	new risk added (C35) delivering the innovation fund grant	updates following IMM 8/1/15 and conversation with JF
6.6	02/02/2015	GM		succession planning	no change - stable arrow added. Cfo to talk to DCC re arrangements.	updates following IMM 2/2/15
6.6	02/02/2015	GM		resilience	reduce to 3x4 because Insp Garthwaite in post, target score amended fom 1x3 to 2x3.	updates following IMM 2/2/15
6.6	02/02/2015	GM		national funding	added in gold group	updates following IMM 2/2/15
6.6	02/02/2015	GM		collaboration	talk to MB - governance	updates following IMM 2/2/15
6.6	02/02/2015	GM		financial management	add in IA when final - review score	updates following IMM 2/2/15
6.6	02/02/2015	GM		victims	add in SLOVW post. Target score added	updates following IMM 2/2/15
6.6	02/02/2015	GM		Innovation funding	add in comments by CFO. Target score added	updates following IMM 2/2/15
6.6	02/02/2015	GM		legal action	terminate. Courts confirmed that this has been administratively closed	updates following IMM 2/2/15
6.6	02/02/2015	GM		police and crime panel	change target score from 2x3 to 1x3. target score achieved. Agreed to keep onregister	updates following IMM 2/2/15

6.6	26/02/2015	GM		various	add in updates to controls - various	updates in prep for IMM
6.7	06/03/2015	GM		succession planning	add controls	updates following IMM 3/3/15
6.7	06/03/2015	GM		resilience	add controls	updates following IMM 3/3/15
6.7	06/03/2015	GM		strategic partner	change current score to 4x4 = red 16	updates following IMM 3/3/15
6.7	06/03/2015	GM		victims	review in april once plan starting to be implemented	updates following IMM 3/3/15
6.7	06/03/2015	GM		strategic alignment	RPO to discuss with CE	updates following IMM 3/3/15
6.7	06/03/2015	GM		financial management	add in IA assurance - final RAG reports	updates following IMM 3/3/15
6.9	24/04/2015	GM		strat partner	finance review/Director post added.	
6.9	24/04/2015	GM		succession planning	review score - ACO permanent	
6.9	24/04/2015	GM		resilience	DCFO appointment added	
6.9	24/04/2015	GM		financial governance	updated with internal audits	
6.9	24/04/2015	GM		efficiencies and VFM	update with benefits realisation work from RGM	
6.9	24/04/2015	GM		governance	add in int audit results	
6.1	05/05/2015	GM		strategic partner	direction of travel change to 'stable'	updates following IMM 29/4/15
6.1	05/05/2015	GM		succession planning	added controls	updates following IMM 29/4/15
6.1	05/05/2015	GM		resilience	direction of travel change to 'increasing'	updates following IMM 29/4/15
6.1	05/05/2015	GM		national funding	add in IA	updates following IMM 29/4/15
6.1	05/05/2015	GM		collaboration	add in IA and updates to dev controls	updates following IMM 29/4/15
6.1	05/05/2015	GM		financial management	change arrow to 'reducing'	conversation with Julie Flint 30/4/15
6.1	05/05/2015	GM		victims	add arrow to 'reducing', score changed from 4,3= 12 to 3,3 = 9	updates following IMM 29/4/15
6.1	05/05/2015	GM		Innovation funding	score changed from 3,4=12 to 2,4=8	updates following IMM 29/4/15
6.1	05/05/2015	GM		Force objectives delivered	add in IA	updates following IMM 29/4/15
6.1	05/05/2015	GM		strategic alignment	move dev con to existing	updates following IMM 29/4/15
6.1	05/05/2015	GM		governance	add in code of ethics	updates following IMM 29/4/15
6.11	05/05/2015	GM		all	review all in prep for IMM. Inc addition of collaboration review (CE)	updates for IMM 28 May 2015
6.12	28/05/2015	gm		resilience	change of score to 3,4 = 12. election provides clarity. Add in controls	updates from IMM 28 May 2015
6.12	28/05/2015	gm		Innovation funding	change of score to 3,4 = 12. Int audit, draft - red. Work in progress	updates from IMM 28 May 2015
6.12	09/06/2015	GM		strategic partners	inherent score changed to 16	comments from JIAC 9/6/15
6.12	10/07/2015	GM		succession planning	residual score change to 3,4 = 12	meeting with Malcolm Burch 10/7/15
6.12	15/07/2015	GM		strategic partner	added in G4S instability and CSP plans	as discussed in P&CSB 15/7/15
6.12	15/07/2015	GM		national funding	add in CC report	
6.12	15/07/2015	GM		vfm	add in evidence base	as discussed with Nancie
6.12	15/07/2015	GM		Force objectives delivered	add in OPP	
6.12	24/08/2015	GM		resilience	dot change to stable. Control updated. Dev controls added.	as discussed at IMM 19 Aug 2015
6.12	24/08/2015	GM		collaboration	added in dev controls	as discussed at IMM 19 Aug 2015
6.12	24/08/2015	GM		victims	add in dev controls	as discussed at IMM 19 Aug 2015
6.13	17/09/2015	gm		succession planning	dot change to stable. Add in discussions with CC	as discussed at IMM 17/9/2015
6.13	12/05/2015	GM		Innovation funding	update from Julie. CFOs agreed red status of report.	preparation for IMM
6.13	13/10/2015	GM		Governance	add in pre and post election planning	as discussed at IMM 13/10/15
6.13	13/10/2015	GM		partners objectives	update with internal audit	as discussed at IMM 13/10/15
6.13	13/10/2015	GM		resilience	add in pre and post election planning	as discussed at IMM 13/10/15
6.13	13/10/2015	GM		victims	likelihood change to 2. overall score amber 6	as discussed at IMM 13/10/15
6.13	01/02/2016	ASW		6 - VFM - collaboration	target risk score increased 2,3 = amber 6	as discussed at IMM 06/01/16
6.13	01/02/2016	ASW		5 - VfM	develop controls add "benefits realisation work - next steps to be agreed"	as discussed at IMM 06/01/16
6.13	01/02/2016	ASW		7 - financial management	reduce current risk score from red 12 to amber 8 + add to exist controls	as discussed at IMM 06/01/16
6.13	01/02/2016	ASW		4- national funding	reduce target risk score + mention HO funding formula planned change	as discussed at IMM 06/01/16
6.13	01/02/2016	ASW		1- strategic partner objectives	dev controls add G4S dialogue + increase target score 2,4 = 8	as discussed at IMM 06/01/17
6.13	02/02/2016	ASW		2- Sucession planning	add DCC recruitment process underway into dev controls	Meeting with MB 26/1/16
6.13	02/02/2016	ASW		9- force objectives delivered	add transition process / new PCPlan and OPD plan into dev controls	as discussed at IMM 06/01/17
6.13	02/02/2016	ASW		Risk register Excel workbook	delete out of date / unused and non live tabs from the register Excel workbook	RPO - to raise at IMM 04/02/16
6.15	10/02/2016	ASW		7 - financial management	remove out of date external assurance entries and add in CIPFA review action plan in developing controls	As instructed by CFO 10/2/16
6.15	10/02/2016	ASW		8- Innovation fund grants	existing controls - budgeting now includes bid sums in advance of outcome	As instructed by CFO 10/2/17
6.15	07/03/2016	ASW		2 - Succession Planning	Current risk score changed likelyhood reduced from 3 to 2 = new overall current score of 8	As discussed at March 2016 IMM
7	06/06/2016	ASW	C11	relationship with Police crime Panel	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change

7	06/06/2016	ASW	C032	tranceparency of governance	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change
7	06/06/2016	ASW	C05	force objectives delivered	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change
7	06/06/2016	ASW	C07	reputation management	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change
7	06/06/2016	ASW	C34	commission - victims of crime	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change
7	06/06/2016	ASW	C10	strategic alignment with partners	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change
7	06/06/2016	ASW	C04	strategic financial planning	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change
7	06/06/2016	ASW	C035	Innovation fund grants	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change
7	06/06/2016	ASW	C08	VFM in Collaboration	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change
7	06/06/2016	ASW	C31	Succession Planning	Removed from register following review at IMM May 2016	Full SMT present at IMM to review and agree change
7	07/06/2016	ASW	C036	Blue light project (tri-service)	Added as a new risk	CE approved content of new entry
7.1	14/06/2016	ASW	c06	OPCC Resilience	Revised wording of entry and scores (risk red 12 down to amber 9) to reflect appointment of Deputy PCC	Approved by CE on 15/6/16
7.11	14/09/2016	ASW	c06	OPCC Resilience	Revised score to 3x 4 to reflect departure of DCE & vacant Deputy CFO post and changes to status of Communications team - developing controls updated	SMT approval at IMM Sept 2016
7.11	14/09/2016	ASW	C036	Blue light project (tri-service)	Revised score - likelyhood raised from 2 to 3 as Joint HQ costs quoted are significantly higher than those estimated.	SMT approval at IMM Sept 2016
	15/09/2016	ASW	C09	Strategic Partner Objectives	change wording from "strategic partner" to "G4S" and moved some developing controls to existing controls section.	SMT approval at IMM Sept 2016
	27/12/2016	ASW	C06	lack of resilience in OPCC	Update 'existing controls' from 'developing controls' regarding Interns/ apprentice/ Comms & media contract - as all now in place.	Discussed at IMM Dec 2015
	28/12/2016	ASW	C02	VFM productivity	Ammend existing controls to reflect current HMIC inspection grade and internal audit result for overtime / time recording	Discussed at IMM Dec 2016
	05/01/2017	ASW	C036	Blue Light programme	increase current risk score to 16 from 12 and include new developing control re review of project / programme Governance	Discussed at IMM January 4 2017
	09/01/2017	ASW	C01	National Funding	update developing controls and transfer some developing controls into existing column	Discussed at IMM January 4 2017
	20/01/2017	ASW	C033	Financial Loss	update developing controls with review of TM Plan	CFO - post PCSB meeting 19/1/17
	20/01/2017	ASW	C02	VfM	Update developing controls re newly introduced Change board and draft benefits realisation strategy.	CFO - post PCSB meeting 19/1/17
	03/03/2017	ASW	C036	Blue Light programme	ammend existing controls and developing controls re changes in governance and new appointments planned / advertised.	Info provided at March IMM meeting
7.13	11/05/2017	ASW	Co6	Resilience in OPCC	change description of risk to include "capacity"	Agreed at IMM April 2017
7.13	12/05/2017	ASW	c036	Blue Light	update developing controls	Refreshed at IMM April 2017
7.14	17/05/2017	ASW	C037	Resilience & Instability of Force Chief Oficer team	New risk added	Agreed at IMM 17 May
7.14	17/05/2017	ASW	C038	OPCC Lack of commissioning capacity	New risk added	Agreed at IMM 17 May
7.14	28/06/2017	ASW	C036	Blue Light programme	Ammend inherent score - error in recording - should have been scored 16 not 12	Identified at IMM 17 May
7.14	28/06/2017	ASW	C039	Ineffective relationship with local partners	New risk added	Agreed at Annual Risk Register review meeting 28 June
7.14	28/06/2017	ASW	C040	Failure to plan for transition to new contract / arrangements	New risk added	Agreed at Annual Risk Register review meeting 28 June
7.14	28/06/2017	ASW	C041	Failure to maintain or develop beneficial regional collaborations	New risk added	Agreed at Annual Risk Register review meeting 28 June
7.14	28/06/2017	ASW	C037	Resilience & Instability of Force Chief Oficer team	Change direction of travel arrow to downwards from Stable - (Risk score remains unchanged)	Agreed at Annual Risk Register review meeting 28 June
7.14	28/06/2017	ASW	none	All Entries	Removal of status Column - superflous to judgement of risk level / not used in practice.	RPO amended
		ASW	C01	National Funding	update developing controls and transfer some developing controls into existing column	discussed at IMM 19 July 2017
		ASW	C033	Financial Loss	update developing controls with review of TM Plan	discussed at IMM 19 July 2017
		ASW	C02	VfM	Update developing controls re newly introduced Change board and draft benefits realisation strategy.	discussed at IMM 19 July 2017
		ASW	C036	Blue Light programme	ammend existing controls and developing controls re changes in governance and new appointments / commencement in roles	discussed at IMM 19 July 2017
			none	Executive Summary	updated to reflect current risk profiles and IDs - following annual review meeting on 28 June.	updated 12 July 2017

’/5/11

		Impact			
Likelihood		Low 1	Medium 2	High 3	Very High 4
Very High	4	AMBER 4	AMBER 8	RED 12	RED 16
High	3	GREEN 3	AMBER 6	AMBER 9	RED 12
Medium	2	GREEN 2	AMBER 4	AMBER 6	AMBER 8
Low	1	GREEN 1	GREEN 2	GREEN 3	AMBER 4

Risk Appetite defined by thick black line

LIKELIHOOD

	Score	Description
Very High	4	More than a 75% chance of occurrence.
High	3	More than a 50% chance of occurrence.
Medium	2	More than a 25% chance of occurrence.
Low	1	Less than a 25% chance of occurrence.

IMPACT

	Score	Performance/ Service Delivery	Finance /Efficiency £	Confidence/ Reputation	Health & Safety	Environment	Strategic Direction
Very High	4	Major disruption to service delivery Major impact on performance indicators noticeable by stakeholders	Overall >1,000,000 Business Area >150,000	Major stakeholder/investigations /longer lasting community concerns Major reputational damage adverse national media coverage	Death or a life changing injury	Very high negative environmental impact (high amount of natural resources used, pollution produced, biodiversity affected)	Major impact on the ability to fulfil strategic objective
High	3	Serious disruption to service delivery Serious impact on performance indicators noticeable by stakeholders	Overall 251,000-1,000,000 Business Area 41,000-150,000	Serious stakeholder/investigations /prolonged specific section of community concerns Serious reputational damage adverse national media coverage	An injury requiring over 24-hours hospitalisation and /or more than 3 days off work or a major injury as defined by the RIDDOR[10] Regs	High negative environmental impact (medium amount of natural resources used, pollution produced, biodiversity affected)	Serious impact on the ability to fulfil strategic objective
Medium	2	Significant disruption to service delivery Noticeable impact on performance indictors	Overall 51,000-250,000 Business Area 11,000-40,000	Significant investigations/specific section of community concerns Significant reputational damage adverse local media coverage	An injury requiring hospital/professional m edical attention and/or between one day and three days off work with full recovery	Medium negative environmental impact (low amount of natural resources used, pollution produced, biodiversity affected)	Significant impact on the ability to fulfil strategic objective
Low	1	Minor disruption to service delivery Minor impact on performance indictors	Overall <50,000 Business Area <10,000	Complaints from individuals Minor impact on a specific section of the community	An injury involving no treatment or minor first aid with no time off work	Low negative environmental impact (limited amount of natural resources used, pollution produced, biodiversity affected)	Minor impact on the ability to fulfil strategic objective

Direction of Travel

(Overall judgement based on the controls in place/planned)

Risk reducing

No change/stable

Risk increasing